

Attorney Docket: 094/004D

**geron**

J. Michael Schiff, Ph.D.  
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**MAY 18 2004**

**OFFICIAL**

*Facsimile Transmittal Sheet*

**Date:** May 14, 2004  
**To:** Art Unit 1632  
U.S. PATENT AND TRADEMARK OFFICE  
**Fax #:** (703) 872-9306  
**From:** J. Michael Schiff, Ph.D.  
Director of Intellectual Property  
**Page 1 of 75 (including cover and ending sheet)**

**OFFICIAL FILING**

- ◆ Transmittal, Fee Transmittal
  - ◆ Petition for 1 Month Extension
  - ◆ Amendment and Response to Office Action Under 37 CFR § 1.111
  - ◆ Supplemental Information Disclosure Statement Pursuant to 37 CFR § 1.97(c)(2)
  - ◆ Form PTO-1449 + attachments  
for  
USSN 09/872,183
- Please enter this paper into the Patent File.**

PTO/SB/21 (04-04)

Approved for use through 07/31/2006. OMB 0851-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	09/872,183	
	Filing Date	May 31, 2001	
	First Named Inventor	Melissa K. Carpenter	
	Art Unit	1632	
	Examiner Name	Anne Marie Falk	
Total Number of Pages in This Submission	73	Attorney Docket Number	094/004D

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment/Reply (10 pages) <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request (in duplicate) <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Third Supplemental Information Disclosure Statement (2 pages) <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks Form PTO-1449 (1 page) + copies of 2 references (55 pages)		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	J. Michael Schiff, Registration No. 40,253
Signature	<i>[Signature]</i>
Date	May 13/04

CERTIFICATE OF TRANSMISSION/MAILING	
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.	
Typed or printed name	Karen Ziehn
Signature	<i>[Signature]</i>
Date	May 14, 2004

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PTO/SB/17 (10-03)

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003, Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) **360**

## Complete If Known

Application Number	09/872,183
Filing Date	May 31, 2001
First Named Inventor	Melissa K. Carpenter
Examiner Name	Anne Marie Falk
Art Unit	1632
Attorney Docket No.	094/004D

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name

07-1139

Geron Corporation

The Director is authorized to: (check all that apply)

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☒ Charge any additional fee(s) or any underpayment of fee(s)

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## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 285	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 180	2005 80	Provisional filing fee	
SUBTOTAL (1) (\$)			0

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
46	26** = 20	9	180
Independent Claims	2	3** = 0	0
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

\*or number previously paid, if greater. For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 280	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1480 130	1480 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1808 180	1808 180	Submission of Information Disclosure Stmt	180
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

180

## SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	J. Michael Schell	Registration No. (Attorney/Agent)	40,253	Telephone	(650) 473-7715
Signature		Date	May 12/04		

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PTO/SB/17 (10-03)

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Art Unit	1632
Attorney Docket No.	094/004D

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Account  
Number  
Deposit  
Account  
Name

07-1139

Geron Corporation

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

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\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (Continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
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Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$) **180****SUBMITTED BY**

(Complete if applicable)

Name (Print/Type)	J. Michael Schitt	Registration No.	40,253	Telephone	(650) 473-7715
Signature	<i>[Signature]</i>	(Attorney/Agent)		Date	May 12/04

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in accordance with 37 CFR § 1.6(d) on the date indicated.

Name

*Ann Zielen*

Date

*May 14, 2004*

OFFICIAL

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: M.K. Carpenter

Art Unit: 1632

Filing Date: May 31, 2001

Examiner: Anne-Marie Falk, Ph.D.

Serial No: 09/872,183

Docket: 094/004d

Title: MAKING NEURAL CELLS FOR HUMAN  
THERAPY OR DRUG SCREENING FROM  
HUMAN EMBRYONIC STEM CELLS

AMENDMENT AND RESPONSE TO OFFICE ACTION  
UNDER 37 CFR § 1.111

Commissioner for Patents  
Alexandria VA 22313

Dear Sir,

This paper is responsive to the most recent Office Action on the merits, dated January 15, 2004, for which a response is due April 15, 2004. Accompanying this response is a Request for a one month extension of time, setting the due date to May 17, 2004, since May 15 is a Saturday. Accordingly, this paper is timely filed.

Applicant has given careful consideration to the analysis in the Office Action. Please enter the following amendments and remarks.